

# PATENT

## UTILITY PATENT APPLICATION TRANSMITTAL

(only for new non-provisional applications under 37 CFR §1.53(b))

Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231  
Sir:

Transmitted herewith for filing is the patent application  
under 37 CFR 1.53(b) of:

AVENTIS DOCKET NO.: A 4015 US NP  
INVENTORS: **James H. Hendrix et al**  
TITLE: **NOVEL HETEROCYCLIC  
SUBSTITUTED CARBONYL DERIVATIVES AND  
THEIR USE AS DOPAMINE D<sub>3</sub> RECEPTOR LIGANDS**

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as  
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Commissioner for Patents, Washington, D.C. 20231,  
on

2-19-2002  
Date of Deposit  
*Denise Walker*  
Signature  
EL 916211041 US  
Express Mail No.

### APPLICATION ELEMENTS

1. ☒ \*Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☒ Specification  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

Total Pages 388

3. ☐ Drawing(s) (35 U.S.C. 113)

Total Sheets

4. Oath or Declaration

Total Pages 3

a. ☒ Newly unexecuted

b. ☐ Copy from a prior application (37 CFR § 1.63(d))  
(for continuation/divisional with Box 16 completed)

i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior  
application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identity of above copies

10/078225  
10/078225  
02/19/02

- ☐ **If a CONTINUING Application**, check appropriate box, and supply the requisite information:  
☐ Continuation ☐ Divisional ☐ Continuation-in-part  
of prior application no: \_\_\_\_\_, filed \_\_\_\_\_  
Examiner \_\_\_\_\_, Group/Art Unit \_\_\_\_\_.  
(The cross reference has been/will be inserted on page one of the specification).

- ☒ This application claims the benefit of U.S. Provisional Application No. U.S. Provisional Application No. 60/269,672, filed February 16, 2001 and GB 0117577.7, filed July 19, 2001. (The cross reference has been/will be inserted on page one of the specification).

- ☐ **Incorporation By Reference** (useable if filing a continuation/divisional and a copy of the declaration from the prior application is enclosed.)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

#### ACCOMPANYING APPLICATION PARTS


7. ☐ Assignment Papers (cover sheet & document(s))  
8. ☐ 37 CFR §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)  
9. ☐ English Translation Document (if applicable)  
10. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations  
11. ☐ Preliminary Amendment  
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
13. ☐ \*Small Entity Statement(s) ☐ Statement filed in prior application,  
(PTO/SB/09-12) Status still proper and desired  
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
15. ☒ Other: EFS

#### CORRESPONDENCE ADDRESS

- ☒ Customer Number or Bar Code Label

005487

(Insert Customer No. or Attach bar code label here)

  
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Aventis Docket No. A 4015 US NP

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$2168.00)

## Complete if Known

Application Number NOT YET ASSIGNED  
 Filing Date FILED HEREWITH  
 First Named Inventor James A. Hendrix et al  
 Examiner Name  
 Group / Art Unit NOT YET ASSIGNED  
 Attorney Docket No. A 4015 US NP

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit Account Number 18-1982  
 Deposit Account Name Aventis Pharmaceuticals Inc.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☒ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370			Utility filing fee	740
106	330	206	165			Design filing Fee	
107	510	207	255			Plant filing fee	
108	740	208	370			Reissue filing fee	
114	160	214	80			Provisional filing fee	

**SUBTOTAL (1)** (\$740)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total	Extra Claims	Fee from below	Fee Paid
90	-20** = 70	x 18	= 1260
Independe	5	- 3** = 2	x 84 = 168
Claims			
Multiple Dependent			

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description
103	18	203	9			Claims in excess of 20
102	84	202	42			Independent claims in excess of 3
104	280	204	140			Multiple dependent claim, if not paid
109	84	209	42			**Reissue independent claims over original patent
110	18	210	9			**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$1428.00)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65			Surcharge - late filing fee or oath	
127	50	227	25			Surcharge - late provisional filing fee or cover sheet	
139	130	139	130			Non-English Specification	
147	2,520	147	2,520			For filing a request for reexamination	
112	920*	112	920*			Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action	
115	110	215	55			Extension for reply within first month	
116	400	216	200			Extension for reply within second month	
117	920	217	460			Extension for reply within third month	
118	1,440	218	720			Extension for reply within fourth month	
126	1,960	226	980			Extension for reply within fifth month	
119	320	219	160			Notice of Appeal	
120	320	220	160			Filing a brief in support of an appeal	
121	280	221	140			Request for oral hearing	
138	1,510	138	1,510			Petition to institute a public use proceeding	
140	110	240	55			Petition to revive - unavoidable	
141	1,280	241	640			Petition to revive - unintentional	
142	1,280	242	640			Utility issue fee (or reissue)	
143	460	243	230			Design issue fee	
144	620	244	310			Plant issue fee	
122	130	122	130			Petitions to the Commissioner	
123	50	123	50			Petitions related to provisional applications	
126	180	126	180			Submission of information Disclosure Stmt	
581	40	581	40			Recording each patent assignment per property (times number of properties)	
146	740	246	370			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370			For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370			Request for Continued Examination (RCE)	
169	900	169	900			Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)

## SUBMITTED BY

Name (Print/Type) Barbara E. Kuryk

Signature *Barbara E. Kuryk*

Registration No. (Attorney/Agent)

34,650

## Complete (if applicable)

Telephone (908) 231-2965

Date 2-19-02

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. Aventis Pharmaceuticals Inc. template